

**Element Performance Inspection (EPI) Data Collection Tool  
1.3.21 Parts Pooling (AW)****ELEMENT SUMMARY INFORMATION****Purpose of This Element** (Certificate Holder's responsibility):

- To administer the Parts Pool Agreements by ensuring that parts pooling activities are conducted as specified in the Certificate Holder's manual and Operations Specifications Paragraph D081.

**Objective** (FAA oversight responsibility):

- To determine if the Certificate Holder follows its procedures, controls, process measurements and interfaces for the Parts Pooling process.
- To determine if there were any changes in the personnel identified by the Certificate Holder as having responsibility and/or authority for the Parts Pooling process.

**Specific Instructions:**

- To accomplish this EPI, the inspector should familiarize himself/herself with the Certificate Holder's approved Parts Pooling process.

**Related EPI(s):**

- 1.1.1 Aircraft Airworthiness (AW)
- 1.1.2 Appropriate Operational Equipment (AW)
- 1.2.1 Airworthiness Release / Logbook Entry (AW)
- 1.2.3 Maintenance Log / Recording Requirements (AW)
- 1.3.1 Maintenance Program (AW)
- 1.3.10 Parts / Material Control / SUP (AW)
- 1.3.11 Continuous Analysis and Surveillance (CAS) (AW)
- 1.3.2 Inspection Program (AW)
- 1.3.4 Required Inspection Items (RII) (AW)
- 2.1.1 Manual Currency (AW)
- 2.1.2 Content Consistency Across Manuals (AW)
- 2.1.3 Distribution (Manuals) (AW)
- 2.1.4 Availability (Manuals) (AW)
- 4.2.1 Maintenance Training Program (AW)

**SUPPLEMENTAL INFORMATION****Specific Regulatory Requirement(s) (SRRs):**

- SRRs:
  - 119.43(b)
  - 119.43(b)(1)
  - 119.43(b)(2)
  - 119.43(c)
  - 121.135(a)(1)
  - 121.135(b)(1)
  - 121.135(b)(2)
  - 121.135(b)(3)
  - 121.361(b)
  - D081
  - D081(a)
  - D081(b)
  - D081(c)

**Related CFR(s) & FAA Policy/Guidance:**

- Related CFRs:
  - 119.49(a)(12)
- FAA Policy/Guidance:
  - FAA Order 8300.10, Volume 2, Chapter 3
  - FAA Order 8300.10, Volume 2, Chapter 82
  - FAA Order 8300.10, Volume 2, Chapter 87

**EPI SECTION 1 – PERFORMANCE OBSERVABLES**

**Objective:** (FAA oversight responsibility): To determine if the Certificate Holder follows its procedures, controls, process measures and interfaces for the Parts Pooling.

**Tasks**

To meet this objective, the inspector must accomplish the following tasks:

- 1 Review the information listed in the Supplemental Information section of this Data Collection Tool.
- 2 Review the policies, procedures, instructions and information for the Parts Pooling Process contained in the Certificate Holder's manual.
- 3 Review the associated SAI for this element with emphasis on the controls, process measurements and interface attribute sections.
- 4 Observe the Parts Pooling process to gain an understanding of the procedures, instructions and information contained in the Certificate Holder's manual.
- 5 Discuss the Parts Pooling process with the personnel (other than management) who perform the duties and responsibilities required by the process.

**Questions**

To meet this objective, the inspector must answer the following questions:

- 1 Were the following Performance Measures met:
  - 1.1 Was training provided to personnel performing the Parts Pooling process?
 

☐ Yes  
☐ No, Explain
  - 1.2 Were only Parts Pooling participants listed in Paragraph D081 of the Certificate Holder's operations specification used to provide parts to the Certificate Holder?
 

☐ Yes  
☐ No, Explain

*Related performance JTIs:*

    - Check at the air carrier specified location that records show that only FAR Part 121 operators listed on the Parts Pool Agreement Authorization applies only to FAR Part 121 operators operating outside the U.S. in accordance with the Certificate Holder's design.  
*Sources:* FAA Order 8300.10, Volume 2, Chapter 87, Section 1, Paragraph 7 B (2). 121.135(a)(1)
  - 1.3 Did all parts provided by a Parts Pooling participant and used by the Certificate Holder comply with the applicable provisions of the Federal Aviation Regulations and the Certificate Holder's manual?
 

☐ Yes  
☐ No, Explain

*Related performance JTIs:*

    - Check at the air carrier specified location that records show that the return to service of airframe components, powerplants, appliances, and spare parts that have been maintained, altered, or inspected by persons employed outside the United States who do not hold U.S. airman certificates was in accordance with the Certificate Holder's design.  
*Sources:* 121.361(b); 121.135(a)(1)
    - Check at the air carrier specified location that records show that the use of airframe components, powerplants, appliances, and spare parts that have been maintained by persons employed outside the United States who do not hold U.S. airman certificates had been returned to service in accordance with the Certificate Holder's design.  
*Sources:* 121.361(b); 121.379(b); 121.135(a)(1)

<ul style="list-style-type: none"> <li>• Check at the air carrier specified location that records show that the use of airframe components, powerplants, appliances, and spare parts that have been altered by persons employed outside the United States who do not hold U.S. airman certificates had been returned to service in accordance with the Certificate Holder's design. <i>Sources:</i> 121.361(b); 121.379(b); 121.135(a)(1)</li> <li>• Check at the air carrier specified location that records show that the use of airframe components, powerplants, appliances, and spare parts that have been inspected by persons employed outside the United States who do not hold U.S. airman certificates had been returned to service in accordance with the Certificate Holder's design. <i>Sources:</i> 121.361(b); 121.379(b); 121.135(a)(1)</li> </ul>	
<p>1.4 Was the Parts Pooling process properly administered?</p> <p><i>Related performance JTIs:</i></p> <ul style="list-style-type: none"> <li>• Check at the air carrier specified location that records show that the Certificate Holder has control of the administration of the parts pool agreement in accordance with the Certificate Holder's design. <i>Sources:</i> D081(b); 121.135(a)(1)</li> <li>• Check at the air carrier specified location that records show that the Certificate Holder's administration of related policies to the parts pool agreement by the foreign air carrier, are in accordance with the Certificate Holder's design. <i>Sources:</i> D081(b); 121.135(a)(1)</li> <li>• Check at the air carrier specified location that records show that the Certificate Holder's operations specifications indicates that amendments had been made to reflect new participants in accordance with the Certificate Holder's design. <i>Sources:</i> FAA Order 8300.10, Volume 2, Chapter 87, Section 1, Paragraph 7 B (2). 121.135(a)(1)</li> <li>• Check at the air carrier specified location that records show that the Certificate Holder's operations specifications indicates that amendments had been made to reflect new locations in accordance with the Certificate Holder's design. <i>Sources:</i> FAA Order 8300.10, Vol. 2, Chap. 87, Sec. 1, Par. 7 B. (2). 121.135(a)(1)</li> </ul>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.5 Was work performed by persons employed outside the United States who do not hold a U.S. airman certificate accomplished in accordance with the Certificate Holder's manual?</p> <p><i>Related performance JTIs:</i></p> <ul style="list-style-type: none"> <li>• Check at the air carrier specified location that records show that the use of airframe components, powerplants, appliances, and spare parts that have been maintained by persons employed outside the United States who do not hold U.S. airman certificates had been returned to service in accordance with the Certificate Holder's design. <i>Sources:</i> 121.361(b); 121.379(b); 121.135(a)(1)</li> <li>• Check at the air carrier specified location that records show that the use of airframe components, powerplants, appliances, and</li> </ul>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

<p>spare parts that have been altered by persons employed outside the United States who do not hold U.S. airman certificates had been returned to service in accordance with the Certificate Holder's design.</p> <p>Sources: 121.361(b); 121.379(b); 121.135(a)(1)</p> <ul style="list-style-type: none"> <li>• Check at the air carrier specified location that records show that the use of airframe components, powerplants, appliances, and spare parts that have been inspected by persons employed outside the United States who do not hold U.S. airman certificates had been returned to service in accordance with the Certificate Holder's design.</li> </ul> <p>Sources: 121.361(b); 121.379(b); 121.135(a)(1)</p>	
<p>1.6 Was the facility surveilled by the Certificate Holder to determine that all work performed was accomplished in accordance with the requirements of the Certificate Holder's manual?</p> <p><i>Related performance JTIs:</i></p> <ul style="list-style-type: none"> <li>• Check at the air carrier specified location that records show that the Certificate Holder has inspected the foreign facility participants that are identified in the D081 Operation Specifications table at least biennial, in accordance with the procedures in the Certificate Holder's manual system design.</li> </ul> <p>Sources: 8300.10, Volume 2, Chapter 87, Section 2, Paragraph 5(A)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>2 Were the Certificate Holder's policies, procedures, instructions and information, contained in its manual, for the Parts Pooling process followed?</p> <p><i>Related performance JTIs:</i></p> <ul style="list-style-type: none"> <li>• Check at the air carrier specified location that records show that the parts pooling maintenance procedures by the foreign air carrier, are in accordance with the Certificate Holder's design.</li> </ul> <p>Sources: D081(b)</p> <ul style="list-style-type: none"> <li>• Check at the air carrier specified location that records show that the control over subsequent revisions of parts pooling maintenance data by the foreign air carrier, is in accordance with the Certificate Holder's design.</li> </ul> <p>Sources: D081(b); 121.135(a)(1)</p> <ul style="list-style-type: none"> <li>• Check at the air carrier specified location that records show that all components used in the lower minimum systems that were obtained from the existing parts pool had identification of the maintenance/inspection program.</li> </ul> <p>Sources: Order 8300.10, Volume 2, Chapter 3, Section 2, Paragraph B (5)</p> <ul style="list-style-type: none"> <li>• Check at the air carrier specified location that records show that the precise parts required by type design criteria were placed on aircraft during extended range operations that were obtained through parts pooling agreements.</li> </ul> <p>Sources: Order 8300.10, Volume 2, Chapter 82, Section1, Paragraph 5 (2) (i) 121.135(a)(1)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>3 Were the Parts Pooling process controls followed?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

4	Did the records for the Parts Pooling process comply with the instructions provided in the Certificate Holder's manual?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
5	Were the process measurements for the Parts Pooling process effective in identifying problems or potential problems and providing corrective action for them?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
6	Did personnel properly handle the associated interfaces by complying with other written policies, procedures, instructions and information that are related to this element?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

<b>EPI SECTION 1 – PERFORMANCE OBSERVABLES</b> <b>–Drop Down Menu</b>	
1. Personnel.	
2. Tools and Equipment.	
3. Technical Data.	
4. Procedures, policies or instructions or information.	
5. Materials.	
6. Facilities.	
7. Controls.	
8. Process Measures.	
9. Interfaces.	
10. Desired Outcome.	
11. Other.	

**EPI SECTION 2 – MANAGEMENT RESPONSIBILITY & AUTHORITY OBSERVABLES**

**Objective:** To determine if the person identified by the Certificate Holder having responsibility and/or authority for the Parts Pooling is qualified, knowledgeable, and recognizes that responsibility and/or authority. (The person with the authority may or may not be the person with the responsibility.)

**Tasks**

To meet this objective, the inspector must accomplish the following tasks:

1 Identify the person who has overall responsibility for the Parts Pooling process.

2 Identify the person who has overall authority for the Parts Pooling process.

NOTE: If no personnel or major program changes (as defined by the Principal Inspector) affecting the responsibility or authority attributes for this element have occurred since the last SAI and/or EPI was accomplished, then do not perform tasks 3 – 6 below. Answer questions 2.1 & 2.2 below, and provide the name/title.

3 Review the duties and responsibilities for the person(s) who manage the Parts Pooling process documented in the Certificate Holder's Manual.

4 Review the appropriate organizational chart.

5 Discuss the Parts Pooling process with the management personnel identified in Tasks 1 and 2.

6 Evaluate the qualifications and work experience of the management personnel identified in Tasks 1 and 2.

**Questions**

To meet this objective, the inspector must answer the following questions:

2. Are the following aspects of the Management Responsibility and Authority Attributes addressed for the Parts Pooling process:

2.1 Is there a clearly identified person who is responsible for the quality of the Parts Pooling process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain Name/Title: <input type="text"/>
2.2 Is there a clearly identified person who has authority to establish and modify the Certificate Holder's policies, procedures, instructions and information for the Parts Pooling process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain Name/Title: <input type="text"/>
2.3 Does the responsible person know that he/she has responsibility for the Parts Pooling process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.4 Does the person with authority know that he/she has authority for the Parts Pooling process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.5 Does the person with responsibility for the Parts Pooling process meet the qualification standards?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable



2.6 Does the person with authority to establish and modify the Parts Pooling process meet the qualification standards?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.7 Does the person with responsibility understand the controls, process measurements, and interfaces associated with the Parts Pooling process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.8 Does the person with authority understand the controls, process measurements, and interfaces associated with the Parts Pooling process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.9 Does the responsible person know who has authority to establish and modify the Parts Pooling process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.10 Does the individual with authority know who has the responsibility for the Parts Pooling process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable

<b>EPI SECTION 2 – MANAGEMENT RESPONSIBILITY &amp; AUTHORITY OBSERVABLES –Drop Down Menu</b>	
1. Assignment of responsibility.	
2. Assignment of authority.	
3. Does not understand procedures, policies or instructions and information.	
4. Does not understand controls.	
5. Does not understand process measurements.	
6. Does not understand interfaces.	
7. Span of control.	
8. Position vacant.	
9. Other.	